



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date 10/4/77	1. Agency Address Comptroller General 238 State Capitol Insurance Division - Room 236 Atlanta, Georgia	Application Number 77-435	
Application Number		Date Received OCT 11 1977	Date Completed NOV 10 1977
2. Person to Contact Ralph W. Terry		Working Title Assistant Chief Deputy, Ins. Commissioner - 656-2074 Telephone Number	
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest Latest 1900 to date		5. Records Series Title (followed by title used in office if different) INSURANCE COMPANY DENIED CHARTER FILES	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Comptroller General is responsible for regulating insurance companies and for administering insurance-related laws; supervising and licensing loan companies making loans up to \$2,500 or less; and enforcing the State's Fire Safety Laws and Mobile Homes Sales Regulations. The Insurance Division supervises insurance companies and agents, collects premium taxes, examines policy forms and policy rates, and administers insurance-related laws. The Division also licenses agents and companies and investigates consumer complaints.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: disapproving ^{Georgia} approving applications from insurance companies to do business in Georgia. Included are: Applications for Original Certificates of Authority (Form GID-2), Corporate Charters and Amendments, Company By-Laws and amendments, Powers of Attorney (Form GID-3) ^{Included are:} GID-4, Certificates of Compliance, Deposit and Valuation, and biographical data on each Company's officers and directors. (See Form GID-1). Also Correspondence between the Company and the Insurance Commissioner's office. Files are arranged alphabetically by name of Insurance Company File is arranged:			
8. Monthly Reference Rate How often are records referred to which are: One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____; twenty-five months and older _____? RARELY			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 2 _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

If company applies for admission within the 2 year period the file would be needed for information. Companies usually apply within 1 year to 2 years.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☒ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area, hold _____ year(s); then
- ☒ Transfer to State Records Center; hold 2 _____ year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date												
<i>Ralph W. Perry</i>	10-7-77	<i>Fred Anderson</i>	10-7-77												
<table border="1"> <thead> <tr> <th colspan="2">State Records Committee (Signature)</th> <th>Date</th> </tr> </thead> <tbody> <tr> <td>State Auditor/Designee</td> <td><i>[Signature]</i></td> <td>11-8-77</td> </tr> <tr> <td>Secretary of State/Designee</td> <td><i>Carroll Hart</i></td> <td>11-7-77</td> </tr> <tr> <td>Attorney General/Designee</td> <td><i>[Signature]</i></td> <td>11-9-77</td> </tr> </tbody> </table>				State Records Committee (Signature)		Date	State Auditor/Designee	<i>[Signature]</i>	11-8-77	Secretary of State/Designee	<i>Carroll Hart</i>	11-7-77	Attorney General/Designee	<i>[Signature]</i>	11-9-77
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Recommendations in paragraph 12 are approved.
(If disapproved, attach letter of explanation.)

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4. Dates of Series Earliest Latest 1900 to date		5. Records Series Title (followed by title used in office, if different) Charter and Correspondence (combined) Insurance Company Applications denied Fire & Casualty Companies and Life, Accident and Health Companies	
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<i>Kelley W. Perry</i>	10-7-77	<i>Fred C. Anderson</i>	10-7-77

State Records Committee (Signature)		Date
State Auditor/Designee		
Secretary of State/Designee	<i>Canell W. H. H.</i>	11-7-77
Attorney General/Designee	<i>W. H. H.</i>	11-9-77

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